



Ifn/2828

S&H Form: (2/01)

DOCKET NO. 1826.1183

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Rainer HAINBERGER et al.

Serial No: 10/596,602

Group Art Unit: 2828

Confirmation No. 8349

Filed: June 19, 2006

Examiner:

For: ADAPTIVE POLARIZATION ADJUSTMENT APPARATUS FOR CONTROLLING  
POLARIZATION OF LIGHT INPUTTED TO POLARIZATION-MAINTAINING  
WAVEGUIDE COMPONENTS

**REQUEST FOR CORRECTED FILING RECEIPT**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

It is requested that the residence of the first Inventor, Assignee, and the Title on the Official Filing Receipt be corrected. The residence of the first Inventor should be correctly reflected as **Wien, AUSTRIA**. The Assignee should be correctly reflected as **Fujitsu Limited of Kawasaki, Japan**. The title should be correctly reflected as **ADAPTIVE POLARIZATION ADJUSTMENT APPARATUS FOR CONTROLLING POLARIZATION OF LIGHT INPUTTED TO POLARIZATION-MAINTAINING WAVEGUIDE COMPONENTS**. These corrections are evidenced by the executed Declaration and executed Assignment, attached to the application as filed. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been noted in red.

It is requested that a corrected Official Filing Receipt be issued in this application.

Respectfully submitted,

STAAS & HALSEY LLP

Date: 3/20/07

By: [Signature]  
J. Randall Beckers  
Registration No. 30,358

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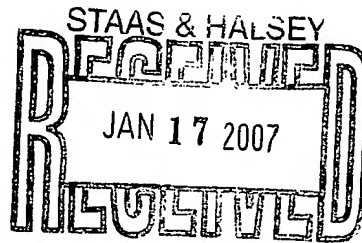
## UNITED STATES PATENT AND TRADEMARK OFFICE



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APPL NO.	FILING OR (c) DATE	UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/596,602	06/19/2006	2828	1000	1826.1183	16	22	1

21171  
STAAS & HALSEY LLP  
SUITE 700  
1201 NEW YORK AVENUE, N.W.  
WASHINGTON, DC 20005



CONFIRMATION NO. 8349

## FILING RECEIPT



\*OC000000021909321\*

Date Mailed: 01/10/2007

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

--Wien--  
Rainer Hainberger, [Wein] AUSTRIA;  
Shigeki Watanabe, Kawasaki, JAPAN;  
--Assignment for Published Patent Application--  
--Fujitsu Limited, Kawasaki, JAPAN--

Power of Attorney: The patent practitioners associated with Customer Number 21171.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP04/04187 03/25/2004

## Foreign Applications

If Required, Foreign Filing License Granted: 01/09/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/596,602**

Projected Publication Date: 04/19/2007

Non-Publication Request: No

Early Publication Request: No

**Title**

Adaptive polarization adjustment apparatus for controlling polarization of light [inputted] to  
polarization-maintaining waveguide components

--inputted--

**Preliminary Class**

372

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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Patent and Trademark Office  
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To the Director of the U.S. Patent and Trademark Office: Please record the attached document.

1. Name of conveying party(ies):  
Rainer HAINBERGER  
Shigeki WATANABE
2. Name and Address of receiving party(ies):  
  
FUJITSU LIMITED  
1-1, Kamikodanaka 4-chome  
Nakahara-ku, Kawasaki  
Kanagawa 211-8588  
Japan
3. Nature of conveyance:  
☒ Assignment ☐ Merger  
☐ Security Agreement ☐ Change of Name  
☐ Other: \_\_\_\_\_  
Execution Date(s): June 7, 2006 and May 24, 2006 respectively.
4. Application number(s) or patent number(s):  
☐ This document is being filed together with a new application.  
OR  
☒ This document is being filed after filing of the application:  
(a) Patent Application No(s). 10/596,602, filed June 19, 2006;
5. Name and address of party to whom correspondence concerning document should be mailed:  
STAAS & HALSEY LLP Our Docket: 1826.1183  
Attention: J. Randall Beckers  
1201 New York Ave., N.W., 7th Floor  
Washington, D.C. 20005
6. Total number of applications and patents involved: 1
7. Total fee (37 CFR 3.41)..... (\$ 40.00 per Patent or Application in Assignment)  
☒ Enclosed  
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8. Deposit Account No.: 19-3935 (Any underpayment is authorized to be charged to this Deposit Account)  
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J. Randall Beckers, Reg. No. 30,358  
Name of Person Signing

[Signature]  
Signature

6/19/06  
Date

Total number of pages including cover sheet: 2

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# U.S. ASSIGNMENT

IN CONSIDERATION of the sum of One Dollar (\$1.00), and of other good and valuable consideration paid to the undersigned inventor(s) (hereinafter, "ASSIGNOR") by  
(Insert Name(s) & Address(es) of ASSIGNEE(S))

**FUJITSU LIMITED**

1-1, Kamikodanaka 4-chome, Nakahara-ku, Kawasaki-shi, Kanagawa 211-8588 Japan

(hereinafter, "ASSIGNEE"), the receipt of which is hereby acknowledged, the undersigned ASSIGNOR hereby sells, assigns and transfers to ASSIGNEE the entire and exclusive right, title and interest to the invention entitled

(Title of Invention)

ADAPTIVE POLARIZATION ADJUSTMENT APPARATUS FOR CONTROLLING POLARIZATION OF LIGHT INPUTTED TO

POLARIZATION-MAINTAINING WAVEGUIDE COMPONENTS

relating to International Patent Application PCT/JP / and/or for which application for Letters Patent of the United States was executed on even date herewith or, if not so executed, was:

(a) executed on ; (Insert date of execution of application, if not concurrent)

(b) filed on ;

Serial No. / ;

Assignee's attorney is hereby authorized to insert in (b) the specified data, when known.

and to said application and all Letters Patent(s) of the United States granted on said application and any continuation, division, renewal, substitute, reissue or reexamination application based thereon, for the full term or terms for which the said Letters Patent(s) may be granted and including any extensions thereof (collectively, hereinafter, "said application(s) and Letters Patent(s)").

The ASSIGNOR agree(s), when requested by said ASSIGNEE and without charge to but at the expense of said ASSIGNEE, to do all acts which the ASSIGNEE may deem necessary, desirable or expedient, for securing, maintaining and enforcing protection for said invention, including in the preparation and prosecution of said application(s) and the issuance of said Letters Patent(s), in any interference, reissue, reexamination, or public use proceeding, and in any litigation or other legal proceeding which may arise or be declared in relation to same, such acts to include but not be limited to executing all papers, including separate assignments and declarations, taking all rightful oaths, providing sworn testimony, and obtaining and producing evidence.

IN WITNESS WHEREOF, the undersigned inventor(s) has (have) affixed his/her/their signature(s).

1) <u>Rainer Hainberger</u> (Signature)	Rainer HAINBERGER (Type Name)	June, 7 2006 (Date)
2) <u>Shigeki Watanabe</u> (Signature)	Shigeki WATANABE (Type Name)	May 24, 2006 (Date)
3) _____ (Signature)	_____ (Type Name)	_____ (Date)
4) _____ (Signature)	_____ (Type Name)	_____ (Date)
5) _____ (Signature)	_____ (Type Name)	_____ (Date)



## Declaration and Power of Attorney for Patent Application

### 特許出願宣言書及び委任状

#### Japanese Language Declaration

#### 日本語宣言書

私は、以下に記名された発明者として、ここに下記の通り宣言する：

As a below named inventor, I hereby declare that:

私の住所、郵便の宛先そして国籍は、私の氏名の後に記載された通りである。

My residence, post office address and citizenship are as stated next to my name.

下記の名称の発明について、特許請求範囲に記載され、且つ特許が求められている発明主題に関して、私は、最初、最先且つ唯一の発明者である（唯一の氏名が記載されている場合）か、或いは最初、最先且つ共同発明者である（複数の氏名が記載されている場合）と信じている。

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

(ADAPTIVE POLARIZATION ADJUSTMENT APPARATUS FOR

CONTROLLING POLARIZATION OF LIGHT INPUTTED TO

POLARIZATION-MAINTAINING WAVEGUIDE

COMPONENTS

上記発明の明細書はここに添付されているが、下記の欄がチェックされている場合は、この限りでない：

the specification of which is attached hereto unless the following box is checked:

☐ \_\_\_\_\_ の日に出願され、  
この出願の米国出願番号または PCT 国際出願番号は、  
\_\_\_\_\_ であり、且つ  
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☒ was filed on 25<sup>th</sup>/March/2004  
as United States Application Number or  
PCT International Application Number  
PCT/JP2004/004187 and was amended on  
\_\_\_\_\_ (if applicable).

私は、上記の補正書によって補正された、特許請求範囲を含む上記明細書を検討し、且つ内容を理解していることをここに表明する。

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

私は、連邦規則法典第 37 編規則 1.56 に定義されている、特許性について重要な情報を開示する義務があることを認める。

I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

**Japanese Language Declaration**  
(日本語宣言書)

私は、ここに、以下に記載した外国での特許出願または発明者証の出願、或いは米国以外の少なくとも一国を指定している米国法典第35編第365条(a)によるPCT国際出願について、同第119条(a)-(d)項又は第365条(b)項に基づいて優先権を主張するとともに、優先権を主張する本出願の出願日より前の出願日を有する外国での特許出願または発明者証の出願、或いはPCT国際出願については、いかなる出願も、下記の枠内をチェックすることにより示した。

I hereby claim foreign priority under Title 35, United States Code, Section 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT International application which designated at least one country other than the United States listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application for which priority is claimed.

Prior Foreign Application(s)  
外国での先行出願

Priority Not Claimed  
優先権主張なし

_____ (Number) (番号)	_____ (Country) (国名)
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_____ (Day/Month/Year Filed) (出願日/月/年)	<input type="checkbox"/>
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私は、ここに、下記のいかなる米国仮特許出願についても、その米国法典第35編第119条(e)項の利益を主張する。

I hereby claim the benefit under Title 35, United States Code, Section 119(e) of any United States provisional application(s) listed below.

_____ (Application No.) (出願番号)	_____ (Filing Date) (出願日)
--------------------------------------	---------------------------------

_____ (Application No.) (出願番号)	_____ (Filing Date) (出願日)
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私は、ここに、下記のいかなる米国出願についても、その米国法典第35編第120条に基づく利益を主張し、又米国を指定するいかなるPCT国際出願についても、その同第365条(c)に基づく利益を主張する。また、本出願の各特許請求の範囲の主題が、米国法典第35編第112条第1段に規定された態様で、先行する米国出願又はPCT国際出願に開示されていない場合においては、その先行出願の出願日と本国内出願日またはPCT国際出願日との間の期間中に入手された情報で、連邦規則法典第37編規則1.56に定義された特許性に関わる重要な情報について開示義務があることを承認する。

I hereby claim the benefit under Title 35, United States Code, Section 120 of any United States application(s), or 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code Section 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of application.

_____ (Application No.) (出願番号)	_____ (Filing Date) (出願日)
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_____ (Status: Patented, Pending, Abandoned) (現況 : 特許許可、係属中、放棄)
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_____ (Status: Patented, Pending, Abandoned) (現況 : 特許許可、係属中、放棄)
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私は、ここに表明された私自身の知識に係わる陳述が真実であり、且つ情報と信ずることに基づく陳述が、真実であると信じられることを宣言し、さらに、故意に虚偽の陳述などを行った場合は、米国法典第18編第1001条に基づき、罰金または拘禁、若しくはその両方により処罰され、またそのような故意による虚偽の陳述は、本出願またはそれに対して発行されるいかなる特許も、その有効性に問題が生ずることを理解した上で陳述が行われたことを、ここに宣言する。

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

**Japanese Language Declaration**  
(日本語宣言書)

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POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith (list name and registration number).

The attorneys and agents of Staas & Halsey LLP under USPTO Customer No. 21,171.

書類送付先

Send Correspondence to:  
STAAS & HALSEY  
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唯一または第一発明者氏名

Full name of sole or first inventor  
Rainer HAINBERGER

発明者の署名

日付

Inventor's signature

Date

*Rainer Hainberger*

*June 7, '06*

住所

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Austrian

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Full name of second joint inventor, if any  
Shigeki WATANABE

第二共同発明者の署名

日付

Second inventor's signature

Date

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*May 24, '06*

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Citizenship  
Japanese

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Nakahara-ku, Kawasaki-shi, Kanagawa 211-8588 Japan

(第三以下の共同発明者についても同様に記載し、署名をすること)

(Supply similar information and signature for third and subsequent joint inventors.)